

# **Tribal Colleges Extension Service Program**

---

## ***Fiscal Year 2007 Request for Applications***

**APPLICATION DEADLINE: January 19, 2007**



**U.S. Department of Agriculture**



**Cooperative State Research, Education, and Extension Service**

**COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE;  
U.S. DEPARTMENT OF AGRICULTURE**

**TRIBAL COLLEGES EXTENSION SERVICE PROGRAM**

**INITIAL ANNOUNCEMENT**

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE:** This program is listed in the Catalog of Federal Domestic Assistance under 10.500, Cooperative Extension Service.

**DATES:** Applications must be received by close of business (COB) on January 19, 2007 (5:00 p.m. Eastern Time). Applications received after this deadline will normally not be considered for funding. Comments regarding this request for applications (RFA) are requested within six months from the issuance of this notice. Comments received after that date will be considered to the extent practicable.

**STAKEHOLDER INPUT:** The Cooperative State Research, Education, and Extension Service (CSREES) is requesting comments regarding this RFA from any interested party. These comments will be considered in the development of the next RFA for the program, if applicable, and will be used to meet the requirements of section 103(c)(2) of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613(c)(2)). This section requires the Secretary to solicit and consider input on a current RFA from persons who conduct or use agricultural research, education and extension for use in formulating future RFAs for competitive programs. Written stakeholder comments on this RFA should be submitted in accordance with the deadline set forth in the DATES portion of this Notice.

Written stakeholder comments should be submitted by mail to: Policy, Oversight, and Funds Management Branch; Office of Extramural Programs; Cooperative State Research, Education, and Extension Service; USDA; STOP 2299; 1400 Independence Avenue, SW; Washington, DC 20250-2299; or via e-mail to: [RFP-OEP@csrees.usda.gov](mailto:RFP-OEP@csrees.usda.gov). (This e-mail address is intended only for receiving comments regarding this RFA and not requesting information or forms.) In your comments, please state that you are responding to the Tribal Colleges Extension Service Program RFA.

**EXECUTIVE SUMMARY:** CSREES announces the availability of grant funds and requests applications for the Tribal Colleges Extension Service (TCES) Program for fiscal year (FY) 2007. CSREES anticipates that the amount available for support of this program in FY 2007 will be approximately \$3.1 million.

This notice identifies the objectives for TCES projects, the eligibility criteria for projects and applicants, and the application forms and associated instructions needed to apply for a TCES grant. CSREES additionally requests stakeholder input from any interested party for use in the development of the next RFA for this program.

## Table of Contents

<b>PART I—FUNDING OPPORTUNITY DESCRIPTION .....</b>	<b><u>4</u></b>
A. Legislative Authority and Background.....	<u>4</u>
B. Purpose and Priorities .....	<u>4</u>
C. Program Area Description.....	<u>4</u>
<b>PART II—AWARD INFORMATION .....</b>	<b><u>6</u></b>
A. Available Funding.....	<u>6</u>
B. Types of Applications .....	<u>6</u>
C. Project Types.....	<u>6</u>
<b>PART III—ELIGIBILITY INFORMATION.....</b>	<b><u>8</u></b>
A. Eligible Applicants.....	<u>8</u>
B. Cost Sharing or Matching .....	<u>8</u>
<b>PART IV—APPLICATION AND SUBMISSION INFORMATION...<u>9</u></b>	<b><u>9</u></b>
A. Address to Request Application Package .....	<u>9</u>
B. Content and Form of Application Submission.....	<u>10</u>
C. Submission Dates and Times .....	<u>11</u>
D. Funding Restrictions .....	<u>12</u>
E. Other Submission Requirements .....	<u>12</u>
<b>PART V—APPLICATION REVIEW REQUIREMENTS .....</b>	<b><u>13</u></b>
A. General .....	<u>13</u>
B. Evaluation Criteria .....	<u>13</u>
C. Conflicts of Interest and Confidentiality.....	<u>15</u>
D. Organizational Management Information.....	<u>15</u>
<b>PART VI—AWARD ADMINISTRATION .....</b>	<b><u>17</u></b>
A. General .....	<u>17</u>
B. Award Notice .....	<u>17</u>
C. Administrative and National Policy Requirements .....	<u>18</u>
D. Expected Program Outputs and Reporting Requirements .....	<u>19</u>
<b>PART VII—AGENCY CONTACT .....</b>	<b><u>20</u></b>
<b>PART VIII—OTHER INFORMATION.....</b>	<b><u>21</u></b>
A. Access to Review Information.....	<u>21</u>
B. Use of Funds; Changes.....	<u>21</u>
C. Confidential Aspects of Applications and Awards .....	<u>22</u>
D. Regulatory Information.....	<u>22</u>
E. Definitions .....	<u>22</u>
F. CSREES’ Grants.gov Implementation Plans.....	<u>25</u>
G. DUNS Number.....	<u>26</u>

## **PART I—FUNDING OPPORTUNITY DESCRIPTION**

### **A. Legislative Authority and Background**

This program is authorized under Section 534(b) of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 201 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7601). This section amends Section 3 of the Act of May 8, 1914 (Smith-Lever Act) (7 U.S.C. 341 et seq.), as amended. Under this authority, appropriated funds are to be awarded to the 1994 Land-Grant Institutions for Extension work and funds are to be distributed on the basis of a competitive application process.

### **B. Purpose and Priorities**

This program provides funding to (1) increase Extension program capacity at 1994 Institutions; and (2) address special needs, take advantage of important opportunities, and/or demonstrate long-term sustained benefits of Extension projects at 1994 Institutions. In fiscal year (FY) 2007, funded projects will support one or more of the five Strategic Goals outlined in the CSREES Strategic Plan for FY 2004-2009 (see Part VIII, E., Definitions):

- 1) Enhance economic opportunities for agricultural producers;
- 2) Support increased economic opportunities and improved quality of life in rural America;
- 3) Enhance protection and safety of the Nation's agriculture and food supply;
- 4) Improve the Nation's nutrition and health; and
- 5) Protect and enhance the Nation's natural resource base and environment.

Therefore, projects should address, for example: assisting farmers and ranchers in increasing efficiency of agricultural production systems and in generating high quality products and processes; use of safe and sustainable pest management practices; education about homeland security, particularly as it relates to agriculture; increasing knowledge of market principles, economic diversification and utilization of sustainable farming operations; increasing knowledge of bio-energy and biomass conversion; increasing knowledge to enhance community planning and youth and adult workforce preparation; helping individuals and families strengthen their competencies to become productive, financially secure and environmentally responsible members of society; reduction in the incidence of food borne illnesses; increasing the understanding of the relationship between health and diet/nutrition, particularly in addressing problems related to obesity; helping youth to develop good decision-making and leadership skills and providing educational opportunities to improve their technical skills; and/or improved management of forest and rangelands, including land, air and water.

### **C. Program Area Description**

In FY 2007, CSREES is soliciting TCES Program applications for two separate categories of projects: 1) Increase Extension Program Capacity Projects; and 2) Extension Special Emphasis Projects. Increase Extension Program Capacity Projects must build and strengthen the capacity at the 1994 Institutions to provide individuals, families and communities with Extension education, outreach and technical assistance. Extension Special Emphasis Projects must address

special needs, take advantage of important opportunities, and/or demonstrate long-term sustained benefits and positive impact of Extension projects at 1994 Institutions. Projects which build upon other planning and implementation concepts that relate to the Cooperative Extension System base programs will be considered for funding. However, objectives funded by other agencies are not eligible for funding under this program.

All proposed projects should support the long-range goals of participating 1994 Institutions. Applicants who have received TCES Program support in prior years must submit information about the results from prior funding (see Part IV, B). This information will be used in the review of applications (as described in Part V, B.).

### **Stakeholder Reports**

**Applicants are required to establish, implement and describe a procedure for gathering Stakeholder input regarding this program and submit such information to CSREES as part of their application. Accordingly, each applicant must: (a) report actions taken to seek Stakeholder input that encourages their participation; (b) provide a brief statement on the process used by the recipient institution to identify individuals and groups who are Stakeholders and to collect input from them; and (c) provide a statement of how collected input was considered. Institutions that have not had the opportunity to solicit and consider Stakeholder input prior to the submission of this year's application are to submit a Stakeholder Input Plan which delineates: (a) actions taken or plans developed to identify individuals and groups who are Stakeholders; (b) planned actions to encourage the participation of Stakeholders; and (c) how Stakeholder input will be considered in the future. Each applicant must submit with the proposal a one-page report that describes actions to seek stakeholder input on Extension program priorities and how this was considered in setting program/project goals for Extension.**

## **PART II—AWARD INFORMATION**

### **A. Available Funding**

Grants may be awarded to successful applicants. There is no commitment by USDA to fund any particular application or to make a specific number of awards. CSREES anticipates approximately \$3.1 million will be available to fund TCES applications in FY 2007.

### **B. Types of Applications**

In FY 2007, only new applications may be submitted to the TCES Program. These are project applications that have not been previously submitted to the TCES Program. All new applications will be reviewed competitively using the selection process and evaluation criteria described in Part V—Application Review Requirements.

### **C. Project Types**

#### **1. Increase Extension Program Capacity**

**In FY 2006, CSREES initiated a procedure to fund continuation grants for up to four years for competitively-selected proposals from eligible institutions. The intent was to reduce the application burden on these institutions. 1994 Land-Grant Institutions not receiving such approval are eligible to apply for Increase Extension Program Capacity projects in FY 2007. 1994 Land-Grant Institutions that were awarded four-year continuation grants in FY 2006 have received separate instructions regarding the awarding of funds in FY 2007 and are not eligible to submit this type of project under this RFA. Should there be questions, please contact the Agency Contact identified in Part VII.**

Only one application per 1994 Land-Grant Institution may be submitted under the Increase Extension Program Capacity project type, and the applicant may request up to \$85,000 for each year of funding.

In FY 2007, applications should be submitted for a 4-year period as CSREES anticipates making these awards as continuation grants to reduce the administrative burden to the grant applicants. A continuation grant is an award for which an application is approved for a specified time period, but each year of funding is awarded on an annual basis (within that specified time period) and subject to the availability of annual appropriations and satisfactory progress of the project. Therefore, awards made in FY 2007 will provide funds for the first year of the project.

#### **2. Extension Special Emphasis Projects**

**All 1994 Land-Grant Institutions are invited to submit applications under the Extension Special Emphasis Project type.**

There is no limit to the number of applications a 1994 Institution, or a consortium of 1994 Institutions, may submit under the Extension Special Emphasis Project type. Each application

submitted by a single institution or multiple institutions may request up to \$100,000. The project period may not exceed three years. These will not be awarded as continuation grants.

## **PART III—ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

Applications may be submitted by any of the Tribal colleges and universities designated as 1994 Land-Grant Institutions under the Educational Land-Grant Status Act of 1994, as amended.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of project goals and objectives. An applicant's failure to meet an eligibility criterion by the time of an application deadline will result in CSREES returning the application without review or, even though an application may be reviewed, will preclude CSREES from making an award.

### **B. Cost Sharing or Matching**

CSREES does not require matching support for this program, and matching resources will not be factored into the review process as evaluation criteria.



## PART IV—APPLICATION AND SUBMISSION INFORMATION

### A. Address to Request Application Package

Only electronic applications may be submitted via Grants.gov to CSREES in response to this RFA.

Prior to preparing an application, it is suggested that the PD/PI first contact an Authorized Representative (AR) to determine if the organization is prepared to submit electronic applications through Grant.gov. If the organization is not prepared, the AOR should see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) for steps for preparing to submit applications through Grants.gov.

The steps to access application materials are as follows:

1. Download and install PureEdge Viewer, a small, free program that provides access to the grant application. See [http://www.grants.gov/resources/download\\_software.jsp#pureedge](http://www.grants.gov/resources/download_software.jsp#pureedge).
2. The application package must be obtained via Grants.gov, go to <http://www.grants.gov>, click on “Apply for Grants” in the left-hand column, click on “**Step 1: Download a Grant Application Package and Instructions**,” enter the funding opportunity number USDA-CSREES-SLBCD-000323 in the appropriate box and click “Download Package.” From the search results, click “Download” to access the application package.

Contained within the application package is the “[CSREES Grants.gov Application Guide: A Guide for Preparation and Submission of CSREES Applications via Grants.gov](#).” This Guide contains an introduction and general Grants.gov instructions, information about how to use a Grant Application Package in Grants.gov, and instructions on how to complete the application forms.

**If assistance is needed to access the application package** (e.g., downloading or navigating PureEdge forms, using PureEdge with a Macintosh computer), refer to resources available on the Grants.gov Web site first (<http://grants.gov/>). Grants.gov assistance is also available as follows:

- Grants.gov customer support  
Toll Free: 1-800-518-4726  
Business Hours: M-F 7:00 am – 9 pm Eastern Standard Time  
Email: [support@grants.gov](mailto:support@grants.gov)

See <http://www.csrees.usda.gov/funding/electronic.html> for additional resources for applying electronically.

### B. Content and Form of Application Submission

Electronic applications should be prepared following Part V and VI of the document entitled “[A Guide for Preparation and Submission of CSREES Applications via Grants.gov.](#)” This guide is part of the corresponding application package (see Section A. of this Part). The following is **additional information** needed in order to prepare an application in response to this RFA. If there is discrepancy between the two documents, the information contained in this RFA is overriding.

**Note the attachment requirements (e.g., portable document format) in Part III section 3. of the Guide.**

1. R&R Other Project Information Form.

a. Project Summary/Abstract (Field 6. on the Form). The summary should also include the relevance of the project to the goals of the TCES Program.

b. Project Narrative (Field 7. on the Form).

PLEASE NOTE: The Project Narrative shall not exceed 20 pages of double-spaced written text and up to five additional pages for figures and tables. This maximum (25 pages) has been established to ensure fair and equitable competition. The Project Narrative must include all of the following:

(1) Situational Statement, Goals Statement, and Statement of Program Objectives: The Project Description should include the situational statement that explains the need for funding and the stated program goals and objectives that address this need.

(2) Target Audience(s) and Geographic Description of the Areas to Be Served.

(3) Statement of Approach: Include a description of major strategies to be undertaken; anticipated program delivery methods; observations on the feasibility of reaching program objectives and the relevance of methods used to reach objectives; identification of partnerships needed to carry out goals and objectives and a description of each partner’s roles and responsibilities; and a timeline for achieving the major objectives. Include in your description how stakeholder input identified in your Stakeholder Report will be reflected in your program planning and/or implementation. (See Part I, C., Stakeholder Reports.)

(4) Project Review and Evaluation: Identify appropriate methodologies for reviewing and evaluating the project and expected project outcomes.

(5) Results from Prior Support: Applicants from 1994 Institutions that have received TCES Program support within the last four years must submit information about results related to meeting project goals and objectives. All projects receiving funds under this program and within this timeframe must be included. This information will be used in the review of applications to monitor significant milestones and accomplishments (see Part V, B.). The report is limited in length to two pages and should include: the award number, amount and period of support, title

of the project, a summary of the results of the completed work, and long-term effects of these results, especially the project(s)' impact on the community.

c. Other Attachments (Field 11. on the Form).

(1) Appendices to Project Narrative. Appendices to the Project Narrative are allowed if they are directly germane to the proposed project. The addition of appendices should not be used to circumvent the text and/or figures and tables page limitations.

(2) Collaborative Arrangements. If it will be necessary to enter into formal consulting or collaborative arrangements with others, such arrangements should be fully explained and justified. If the consultant(s) or collaborator(s) are known at the time of application, a vitae or resume should be provided. In addition, evidence (e.g., letter of support) should be provided that the collaborators involved have agreed to render these services. The applicant also will be required to provide additional information on consultants and collaborators and these should be detailed in the budget portion of the application.

(3) Stakeholder Report or Stakeholder Implementation Plan. Applicants should attach their Stakeholder Report or Stakeholder Input Plan (see Part I, C.) here.

2. Budget

Funds should be included to pay travel costs for attendance at a CSREES Project Directors' meeting and/or the CSREES Administrative Officers Meeting at least once during the duration of the project.

3. CSREES Supplemental Information Form.

a. Program Code (Field 2. on the Form). Enter the program code name (i.e., enter "Tribal Colleges Extension Service Program") and the program code (i.e., enter "NK").

b. Conflict of Interest List (Field 4. on the Form). A conflict of interest list is not required under this program. Do not include a conflict of interest list.

**C. Submission Dates and Times**

**Instructions for submitting an application are included in Part IV, Section 1.9 of the CSREES Grants.gov Application Guide.**

Applications must be received by Grants.gov by COB on January 19, 2007 (5:00 p.m. Eastern Time). Applications received after this deadline will normally not be considered for funding.

The receipt of all applications will be acknowledged by e-mail. Therefore, applicants are strongly encouraged to provide accurate e-mail addresses, where designated, on the SF-424 R&R Application for Federal Assistance.

If the AR has not received a confirmation message from CSREES within 30 days of submission of the application, please contact the Program Contact identified in Part VII of the applicable RFA (for the Small Business Innovation Research program (SBIR) the Program Contacts are specified under subsection 1.5 of the SBIR Program Solicitation) and request the proposal number assigned to the application. **Failure to do so may result in (for competitive programs) the application not being considered for funding by the peer review panel or (for non-competitive programs) a delay in the issuance of an award. Once the application has been assigned a proposal number, this number should be cited on all future correspondence.**

#### **D. Funding Restrictions**

Under the TCES Program, the use of grant funds to plan, acquire, or construct a building or facility, or to acquire land, is not allowed. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, grant funds may be used to purchase equipment, or for improvements, alterations, renovations, or repairs to land, buildings, or equipment, deemed necessary to retrofit existing spaces and resources in order to carry out a funded project under this grant. However, requests to use grant funds for such purposes must demonstrate that such expenditures are incidental to the major purpose for which the grant request is made and no more than twenty-five percent of the project budget may be used to purchase equipment. Any equipment purchased with Federal funds is the property of the grantee or the subgrantee, as appropriate.

Indirect costs are unallowable costs, and no funds will be approved for this purpose. Costs that are a part of the institution's indirect cost pool may not be reclassified as direct costs for the purpose of making them allowable.

#### **E. Other Submission Requirements**

The applicant should follow the submission requirements noted in the document entitled "A Guide for Preparation and Submission of CSREES Applications via Grants.gov."

## **PART V—APPLICATION REVIEW REQUIREMENTS**

### **A. General**

Each application will be evaluated in a 2-part process. First, each application will be screened to ensure that it meets the administrative requirements as set forth in this RFA. Second, applications that meet these requirements will be technically evaluated by a review panel.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

### **B. Evaluation Criteria**

The evaluation criteria below will be used in reviewing applications submitted in response to this RFA:

<b>Criteria</b>	<b>Points</b>
Statement of Need, Site Location, Scope of Project	20
Program Objectives	15
Program Design and Methodologies	15
Evaluation Methodologies	20
Success in Previous Project Management for Tribal Colleges Extension Service Projects (new applicants will not be penalized)	10
Cost Effectiveness of Proposed Project	10
Quality of Stakeholder/Participant Involvement in the Proposed Project	10

#### **1. Statement of Need, Site Location, Scope of Project (20 points)**

- How well stated a case does the applicant make for overcoming a problem or taking advantage of an opportunity?

- Does the applicant adequately relate those issues that will be addressed in this project to the stated needs of the community?
- How well stated a case does the applicant make relative to reaching an underserved population in terms of geographic distribution and/or number of people to be served?
- Are the proposed activities, the geographic area to be covered and the number of people to be reached adequate for the funding amount requested?

## **2. Program Objectives (15 points)**

- Are the objectives written to address one or more of the five Strategic Goals contained in Part I, B?
- Are the specific program objectives written in clear, concise, complete, measurable and logically arranged statements?
- Do the proposed project objectives provide sufficient justification for funding this proposal?

## **3. Program Design and Methodologies (15 points)**

- Will the program designs and strategies likely produce the outcomes needed to meet the objectives described above?
- Is the project sufficiently focused and does it contain a critical mass of leadership and resources to undertake the activity?
- Are the scope and duration of the programs adequate to produce positive outcomes?
- Is the appropriate research base used to support the selected educational design and activities?

## **4. Evaluation Methodologies (20 points)**

- Are the evaluation designs and methodologies adequate to measure the extent to which program objectives are being met?

## **5. Success in Previous Project Management for Tribal Colleges Extension Service Projects (10 points)**

- Is there evidence that the applicant has successfully implemented other TCES Program grants in accordance with the timelines and budgets reported?

- Do the outcomes and results from prior support for TCES Program projects provide sufficient evidence of long-term positive impacts to justify continued funding?

#### **6. Cost Effectiveness of Proposed Project (10 points)**

- How well stated is the relationship between the proposed budget and the anticipated outcomes of this project?
- How effective do the salaries and other direct costs appear to be in support of Extension program delivery?
- Is there proper balance, as well as sufficiency and efficiency of funds, among the individual budget items?

#### **7. Quality of Stakeholder/Participant Involvement in the Proposed Project (10 points)**

- Has the applicant demonstrated adequate stakeholder input in the development of the proposed project?
- Is there sufficient evidence of community support for the implementation of the proposed project?

### **C. Conflicts of Interest and Confidentiality**

During the peer evaluation process, extreme care will be taken to prevent any actual or perceived conflicts of interest that may impact review or evaluation. For the purpose of determining conflicts of interest, the academic and administrative autonomy of an institution shall be determined by reference to the current Higher Education Directory, published by Higher Education Publications, Inc., 6400 Arlington Boulevard, Suite 648, Falls Church, Virginia 22042. Phone: (703) 532-2300. Web site: <http://www.hepinc.com>.

Names of submitting institutions and individuals, as well as application content and peer evaluations, will be kept confidential, except to those involved in the review process, to the extent permitted by law. In addition, the identities of peer reviewers will remain confidential throughout the entire review process. Therefore, the names of the reviewers will not be released to applicants.

### **D. Organizational Management Information**

Specific management information relating to an applicant shall be submitted on a one-time basis, with updates on an as-needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another CSREES program. CSREES will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an

applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information).



## **PART VI—AWARD ADMINISTRATION**

### **A. General**

Within the limit of funds available for such purpose, the awarding official of CSREES shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in this RFA. The date specified by the awarding official of CSREES as the effective date of the grant shall be no later than September 30 of the Federal fiscal year in which the project is approved for support and funds are appropriated for such purpose, unless otherwise permitted by law. It should be noted that the project need not be initiated on the grant effective date, but as soon thereafter as practical so that project goals may be attained within the funded project period. All funds granted by CSREES under this RFA shall be expended solely for the purpose for which the funds are granted in accordance with the approved application and budget, the regulations, the terms and conditions of the award, the applicable Federal cost principles, and the Department's assistance regulations (parts 3015 and 3019 of 7 CFR).

### **B. Award Notice**

The award document will provide pertinent instructions and information including, at a minimum, the following:

- (1) Legal name and address of performing organization or institution to whom the Administrator has issued an award under the terms of this request for applications;
- (2) Title of project;
- (3) Name(s) and institution(s) of PDs chosen to direct and control approved activities;
- (4) Identifying award number assigned by the Department;
- (5) Project period, specifying the amount of time the Department intends to support the project without requiring recompetition for funds;
- (6) Total amount of Departmental financial assistance approved by the Administrator during the project period;
- (7) Legal authority(ies) under which the award is issued;
- (8) Appropriate Catalog of Federal Domestic Assistance (CFDA) number;
- (9) Applicable award terms and conditions (see <http://www.csrees.usda.gov/business/awards/awardterms.html> to view CSREES award terms and conditions);

(10) Approved budget plan for categorizing allocable project funds to accomplish the stated purpose of the award; and

(11) Other information or provisions deemed necessary by CSREES to carry out its respective awarding activities or to accomplish the purpose of a particular award.

### **C. Administrative and National Policy Requirements**

Several Federal statutes and regulations apply to grant applications considered for review and to project grants awarded under this program. These include, but are not limited to:

7 CFR Part 1, subpart A—USDA implementation of the Freedom of Information Act.

7 CFR Part 3—USDA implementation of OMB Circular No. A-129 regarding debt collection.

7 CFR Part 15, subpart A—USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.

7 CFR Part 331 and 9 CFR Part 121—USDA implementation of the Agricultural Bioterrorism Protection Act of 2002.

7 CFR Part 3015—USDA Uniform Federal Assistance Regulations, implementing OMB directives (i.e., OMB Circular Nos. A-21 and A-122, now codified at 2 CFR Parts 220 and 230) and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.

7 CFR Part 3017—USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement) and 7 CFR Part 3021—Governmentwide Requirements for Drug Free Workplace (Grants).

7 CFR Part 3018—USDA implementation of Restrictions on Lobbying. Imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans.

7 CFR Part 3019—USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

7 CFR Part 3052—USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Non profit Organizations.

7 CFR Part 3407—CSREES procedures to implement the National Environmental Policy Act of 1969, as amended.

29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute) —prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq. —Bayh Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

## **D. Expected Program Outputs and Reporting Requirements**

### **1. Annual Performance Report**

Annual performance reports are due 90 days after the anniversary date of the award and should be submitted to the program contact identified in the award. Annual performance reports must include the following information: (a) a comparison of actual accomplishments with the goals established for the reporting period (where the output of the project can be expressed readily in numbers, a computation of the cost per unit of output should be submitted, if the information is considered useful); (b) if established goals were not met, the reasons; and (c) additional pertinent information including, when appropriate, analysis and explanation of cost overruns or unexpectedly high unit costs.

### **2. Final Technical Report**

A final technical report must be submitted to the USDA program contact person within 90 days after the expiration date of the project. The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including: (a) a review of project objectives and accomplishments; (b) a description of outcomes resulting from the project and activities undertaken to disseminate these outcomes; (c) an explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project; (d) a description of the project's impact on the PD(s), the institution(s) involved, and the community; and (e) any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award.

## **PART VII—AGENCY CONTACT**

Applicants and other interested parties are encouraged to contact Joan F. Gill; National Program Leader; Science and Education Resources Development; Multicultural Alliances; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; STOP 2250; 1400 Independence Avenue, SW; Washington, DC 20250-2250; telephone: 202-720-6487; fax: 202-720-4924; e-mail: [serdegrants@csrees.usda.gov](mailto:serdegrants@csrees.usda.gov).

## **PART VIII—OTHER INFORMATION**

### **A. Access to Review Information**

Copies of reviews, not including the identity of reviewers, and a summary of the panel comments will be sent to the applicant PD after the review process has been completed.

### **B. Use of Funds; Changes**

#### **1. Delegation of Fiscal Responsibility**

Unless the terms and conditions of the award state otherwise, the awardee may not in whole or in part delegate or transfer to another person, institution, or organization the responsibility for use or expenditure of award funds.

#### **2. Changes in Project Plans**

a. The permissible changes by the awardee, PD(s), or other key project personnel in the approved project shall be limited to changes in methodology, techniques, or other similar aspects of the project to expedite achievement of the project's approved goals. If the awardee or the PD(s) is uncertain as to whether a change complies with this provision, the question must be referred to the Authorized Departmental Officer (ADO) for a final determination. The ADO is the signatory of the award document, not the program contact.

b. Changes in approved goals or objectives shall be requested by the awardee and approved in writing by the ADO prior to effecting such changes. In no event shall requests for such changes be approved which are outside the scope of the original approved project.

c. Changes in approved project leadership or the replacement or reassignment of other key project personnel shall be requested by the awardee and approved in writing by the ADO prior to effecting such changes.

d. Transfers of actual performance of the substantive programmatic work in whole or in part and provisions for payment of funds, whether or not Federal funds are involved, shall be requested by the awardee and approved in writing by the ADO prior to effecting such transfers, unless prescribed otherwise in the terms and conditions of the award.

e. The project period may be extended by CSREES without additional financial support, for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project, but in no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the awardee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of award.

f. Changes in Approved Budget: Unless stated otherwise in the terms and conditions of award, changes in an approved budget must be requested by the awardee and approved in writing by the ADO prior to instituting such changes if the revision will involve transfers or expenditures of

amounts requiring prior approval as set forth in the applicable Federal cost principles, Departmental regulations, or award.

### **C. Confidential Aspects of Applications and Awards**

When an application results in an award, it becomes a part of the record of CSREES transactions, available to the public upon specific request. Information that the Secretary determines to be of a confidential, privileged, or proprietary nature will be held in confidence to the extent permitted by law. Therefore, any information that the applicant wishes to have considered as confidential, privileged, or proprietary should be clearly marked within the application. The original copy of an application that does not result in an award will be retained by the Agency for a period of three years. Other copies will be destroyed. Such an application will be released only with the consent of the applicant or to the extent required by law. An application may be withdrawn at any time prior to the final action thereon.

### **D. Regulatory Information**

For the reasons set forth in the final Rule related Notice to 7 CFR part 3015, subpart V (48 FR 29114, June 24, 1983), this program is excluded from the scope of the Executive Order 12372 which requires intergovernmental consultation with State and local officials. Under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. chapter 35), the collection of information requirements contained in this Notice have been approved under OMB Document No. 0524-0039.

### **E. Definitions**

For the purpose of this program, the following definitions are applicable:

1994 Institution or 1994 Land-Grant Institution means one of those institutions as defined in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note) as amended. These institutions are commonly referred to as Tribal Colleges or Tribal Universities.

Administrator means the Administrator of the Cooperative State Research, Education, and Extension Service (CSREES) and any other officer or employee of the Department of Agriculture to whom the authority involved may be delegated.

Authorized departmental officer (ADO) means the Secretary or any employee of the Department who has the authority to issue or modify award instruments on behalf of the Secretary.

Authorized representative (AR) means the official who has the authority to commit the resources of the institution.

Award means the provision of funds by the Secretary to an entity to assist in meeting the costs of conducting, for the benefit of the public, an identified project which is intended and designed to accomplish the purpose of the program as identified in these Application Guidelines.

Awardee means the same as Grantee (see below).

Budget period means the interval of time (usually 12 months) into which the project period is divided for budgetary and reporting purposes.

College or university means an educational institution in any State which: (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (2) is legally authorized within such State to provide a program of education beyond secondary education; (3) provides an educational program for which an associate degree or any other higher degree is awarded; (4) is a public or other nonprofit institution; and (5) is accredited by a nationally recognized accrediting agency or association, or if not so accredited, is an institution that has been granted pre-accreditation status by such an agency or association that has been recognized by the Secretary of Education for the granting of pre-accreditation status, and the Secretary of Education has determined that there is satisfactory assurance that the institution will meet the accreditation standards of such an agency or association within a reasonable time.

Department means the United States Department of Agriculture.

Eligible institution(s) (see 1994 Institution or 1994 Land-Grant Institution.)

Extension activity means an act or process that delivers science-based knowledge and informal educational programs to people, enabling them to make practical decisions.

Food and agricultural sciences means basic, applied, and developmental research, extension, and teaching activities in the food, agricultural, renewable natural resources, forestry, and physical and social sciences, in the broadest sense of these terms, including but not limited to, activities concerned with the production, processing, marketing, distribution, conservation, utilization, consumption, research, and development of food and agriculturally related products and services, and inclusive of programs in agriculture, natural resources, aquaculture, forestry, veterinary medicine, home economics, rural human ecology, rural economic, community, or business development, and closely allied disciplines.

Grant means the award by the Secretary of funds to an eligible organization or individual to assist in meeting the costs of conducting, for the benefit of the public, an identified project which is intended and designed to accomplish the purpose of the program as identified in these guidelines.

Grantee means the 1994 Institution designated in the grant award document as the responsible legal entity to which a grant is awarded.

Institutional Review Board refers to an administrative body charged with protecting the rights and welfare of human subjects involved in activities conducted by the affiliated institution. It approves, requires modifications in, or disapproves all activities within its jurisdiction.

Merit review means an evaluation of a proposed project or elements of a proposed program whereby the technical quality and relevance to regional and national goals are assessed.

Peer review panel means a group of experts or consultants, qualified by training and experience in particular fields of science, education, or technology to give expert advice on the merit of grant applications in such fields, who evaluate eligible applications submitted to this program in their professional area(s) of expertise.

Prior approval means written approval evidencing prior consent by an ADO as defined in this section.

Project means the particular activity within the scope of the program supported by a grant award.

Project Director means the single individual designated by the grantee in the grant application and approved by the Secretary who is responsible for the direction and management of the project.

Project period means the period, as stated in the award document and modifications thereto, if any, during which Federal sponsorship begins and ends.

Secretary means the Secretary of Agriculture and any other officer or employee of the Department of Agriculture to whom the authority involved may be delegated.

Tribal College or Tribal University means an educational institution that: (1) satisfies the definition of a *college* or *university* as defined in this section, except that paragraphs (2) and (5) of such definition shall not apply; (2) is formally controlled, or has been formally sanctioned, or chartered, by the governing body of an Indian tribe or tribes, except that no more than one such institution shall be recognized with respect to any such tribe; and (3) is an institution listed in the Equity in Educational Land-Grant Status Act of 1994.

Tribally Controlled College or Tribally Controlled University means the same as Tribal College or Tribal University (see above).

Tribe means any of the groups of Native Americans having origins in the original peoples of North America that are recognized by the Federal government.

USDA means the United States Department of Agriculture.

#### CSREES Strategic Goals and Objectives (FY 2004-2009)

##### *Strategic Goal 1: Enhance Economic Opportunities for Agricultural Producers*

Objective 1.1: Provide information, knowledge, and education to help expand markets and reduce trade barriers

Objective 1.2: Support international economic development and trade capacity building

Objective 1.3: Provide science-based knowledge and technologies to generate new or improved high-quality products and processes to expand markets for the agricultural sector

Objective 1.4: Provide science-based information, knowledge, and education to facilitate risk management by farmers and ranchers

Objective 1.5: Contribute science-based information, analysis, and education to promote the efficiency of agricultural production systems



*Strategic Goal 2: Support Increased Economic Opportunities and Improved Quality of Life in Rural America*

Objective 2.1: Expand economic opportunities in rural America by bringing scientific insights into economic and business decision making

Objective 2.2: Provide science-based technology, products, and information to facilitate informed decisions affecting the quality of life in rural areas

*Strategic Goal 3: Enhance Protection and Safety of the Nation's Agriculture and Food Supply*

Objective 3.1: Reduce the incidence of food borne illnesses and contaminants through science-based knowledge and education

Objective 3.2: Develop and deliver science-based information and technologies to reduce the number and severity of agricultural pest and disease outbreaks

*Strategic Goal 4: Improve the Nation's Nutrition and Health*

Objective 4.1: Improve human health by better understanding the nutrient requirements of individuals and the nutritional value of foods

Objective 4.2: Promote healthier food choices and lifestyles

*Strategic Goal 5: Protect and Enhance the Nation's Natural Resource Base and Environment*

Objective 5.1: Provide science-based knowledge and education to improve the management of forests and rangelands

Objective 5.2: Provide science-based knowledge and education to improve the management of soil, air, and water resources to support production and enhance the environment

## **F. CSREES' Grants.gov Implementation Plans**

CSREES is continuing to develop its capacity to exchange proposal and grant data electronically with its grantees through [Grants.gov](http://www.grants.gov) and to process, review, and award proposals and grants electronically.

In Fiscal Year (FY) 2006, CSREES offered an electronic application option for select grant programs and partnered with five institutions to use Grants.gov Apply. CSREES utilized the SF-424 R&R (Research and Related) forms package (see 70 FR 9656, published in the Federal Register on February 28, 2005) along with CSREES Agency-specific forms and instructions to receive the electronic applications. These pilot activities were successful and provided lessons for applicants and CSREES.

As a result, for the FY 2007 (October 1, 2006-September 30, 2007) cycle, CSREES is requiring electronic submission through Grants.gov for some programs while providing a Grants.gov option for others. Please visit <http://www.csrees.usda.gov/funding/fy07changes.html> for information about FY 2007 submission requirements by program. For more information about CSREES' Grants.gov plans, including important announcements, program implementation, and detailed requirements, see the CSREES' web site, [http://www.csrees.usda.gov/business/other\\_links/egov/egov.html](http://www.csrees.usda.gov/business/other_links/egov/egov.html). The information on these web

sites will be updated as appropriate. It is suggested that the sites be visited periodically for important updates.

## **G. DUNS Number**

A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of over 70 million businesses worldwide. A Federal Register notice of final policy issuance (68 FR 38402) requires a DUNS number in every application (i.e., hard copy and electronic) for a grant or cooperative agreement (except applications from individuals) submitted on or after October 1, 2003. Therefore, potential applicants should verify that they have a DUNS number or take the steps needed to obtain one.

For information about how to obtain a DUNS number go to <http://www.grants.gov/RequestaDUNS>. Please note that the registration may take up to 14 business days to complete.